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a.) Introductory Comments  
b.) Amendments to the Specification  
c.) Amendments to the Claims  
d.) Remarks

## II. Submit Only One Version (with markings) of an Amended Part:

The requirement to provide two versions of a replacement paragraph, section, or claim (a clean version and a marked up version), as set forth in current 37 CFR 1.121, is waived where the format set forth below is followed.

## III. Amendments to the Claims

### A. A Complete Listing of Claims is Always Required:

If an amendment adds, changes or deletes any claim, a detailed listing of all claims that are, or were, in the application, irrespective of whether the claim(s) remains under examination in the application, must be presented, and the amendment to the claims is expressed in the listing. The listing shall be presented as follows:

#### 1. Ascending Order and Status Identifier Required

The listing shall be provided in sequential ascending numerical order (beginning with claim 1). A status identifier shall be provided for every claim in a parenthetical expression following the claim number (e.g., "Claim 1. (original)"). A list of acceptable status identifiers is set forth in part B, below. The text of **all** claims under examination shall be submitted each time any claim is amended. Cancelled and withdrawn claims should be indicated by only the claim number and status. The text of cancelled or withdrawn claims should not be presented.

#### 2. Markings in Currently Amended Claims Required

All claims *being currently amended* shall be submitted with markings to indicate the changes that have been made relative to the immediate prior version of the claims. The changes in any amended claim should be shown by strikethrough (for deleted matter) or underlining (for added matter). No separate "clean" version should be submitted for currently amended claims, as this requirement has been eliminated. **Markings should only be made in claims being currently amended in an amendment paper.**

#### 3. Only Clean Text Required for Other Claims Under Examination.

The text of pending claims *not being currently amended* that are under examination shall be presented in a clean version in the listing. Any claim presented in clean version constitutes an assertion that it has not been changed relative to the immediate prior version.

#### 4. Status to Effect Claim Cancellation or Addition.

A claim may be cancelled by merely indicating the status of the claim as cancelled. Any new claim added by amendment must be indicated by the appropriate status identifier and shall not be underlined. Thus, added new claims of status (new), (reinstated - formerly claim #\_) and (re-presented - formerly dependent claim #\_) must be presented in clean version. Additional claims may be subject to additional fees, as appropriate.

#### 5. When Grouping of Claims is Permitted.

Consecutive cancelled or withdrawn claims may be aggregated into one line of the listing (e.g. Claims 1 - 5 (cancelled)).

#### 6. Use "Currently Amended" Status Where Applicable.

If any "previously reinstated" or "previously re-presented" claim is being amended, the status shall be indicated as "currently amended" with markings as indicated in paragraph A2, above. Multiple status identifiers should not be used for any single claim.

### B. Status Identifiers that May be Used:

In order to promote uniformity and consistency, only the following eleven (11) defined status

identifiers should be used to indicate the status of the claims (in parentheses after the claim number):

- |  |   |
|--|---|
| 1. (Original):                                     | Claim filed with the application following the specification (i.e., not added by preliminary amendment).    |
| 2. (Currently amended):                            | Claim being amended in the current amendment paper.   |
| 3. (Previously amended):                           | Claim not being currently amended, but which was amended in a previous amendment paper.                     |
| 4. (Cancelled):                                    | Claim cancelled or deleted from the application.  |
| 5. (Withdrawn):                                    | Claim still in the application, but in a non-elected status.  |
| 6. (Previously added):                             | Claim added in an earlier amendment paper.  |
| 7. (New):  | Claim being added in the current amendment paper.   |
| 8. (Reinstated - formerly claim # _):              | Claim deleted in an earlier amendment paper, but re-presented with a new claim number in current amendment. |
| 9. (Previously reinstated):                        | Claim deleted in an earlier amendment and reinstated in an earlier amendment paper.                         |
| 10. (Re-presented - formerly dependent claim # _): | Dependent claim re-presented in independent form in current amendment paper.                                |
| 11. (Previously re-presented):                     | Dependent claim re-presented in independent form in an earlier amendment, but not currently amended.        |

#### C. Example of Listing of Claims:

Claims 1-5 (cancelled)  
 Claim 6 (withdrawn)  
 Claim 7 (previously amended): A bucket with a handle.  
 Claim 8 (currently amended): A bucket with a ~~green~~ blue handle.  
 Claim 9 (withdrawn)  
 Claim 10 (original): A bucket with a wooden handle.  
 Claim 11 (cancelled)  
 Claim 12 (new): A bucket with plastic sides and bottom.  
 Claim 13 (previously added): A bucket having a circumferential upper lip.  
 Claim 14 (re-presented - formerly claim 11): A black bucket with a wooden handle.

#### IV. Amendments to the Specification

Amendments to the specification are to be made by presenting replacement paragraphs, sections or a substitute specification marked up to show changes made relative to the immediate prior version, as set out in 37 CFR 1.121(b). The changes should be shown by strikethrough (for deleted matter) or underlining (for added matter). No accompanying "clean" version shall be supplied. The amendments to the specification shall be presented only one time, and will not appear in successive amendment documents.

## V. Amendments to the Drawings

Amendments to the drawing figures shall be made by presenting replacement figures which include the desired changes, without markings, and which comply with § 1.84. The changes shall be explained in the accompanying remarks section of the amendment paper. If the amended drawings are not approved, the applicant will be notified in the next Office action. Any amended drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even though only one figure may be amended. The figure number in the amended drawing should not be labeled as "amended."

For further information on the prototype image electronic processing of patent applications, please contact the Search and Information Resources Administration at: [image.processing@uspto.gov](mailto:image.processing@uspto.gov). Any questions regarding the submission of amendments pursuant to the revised practice set forth in this notice should be directed to Elizabeth Dougherty ([Elizabeth.Dougherty@uspto.gov](mailto:Elizabeth.Dougherty@uspto.gov)), Gena Jones ([Eugenia.Jones@uspto.gov](mailto:Eugenia.Jones@uspto.gov)) or Joe Narcavage ([Joseph.Narcavage@uspto.gov](mailto:Joseph.Narcavage@uspto.gov)). For information on the waiver or legal aspects of the program, please contact Jay Lucas ([Jay.Lucas@uspto.gov](mailto:Jay.Lucas@uspto.gov)) or Rob Clarke ([Robert.Clarke@uspto.gov](mailto:Robert.Clarke@uspto.gov)).

Date: 1/31/03

Signed: /s/  
STEVEN KUNIN  
Deputy Commissioner for Patent  
Examination Policy

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